

RECEIPT



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of ) Examiner: Unassigned  
HOWES, et al. ) Art Unit: 2663  
Application No. 09/954,507 )  
Filed: September 12, 2001 ) Atty Docket No.: CISCP041C1  
For: METHOD AND APPARATUS FOR ) January 15, 2002  
MAINTAINING CONNECTION STATE BETWEEN )  
A CONNECTION MANAGER AND A FAILOVER )  
DEVICE )  
\_\_\_\_\_  
)

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the  
United States Postal Service as First Class Mail in an envelope  
addressed to: Assistant Commissioner for Patents, Application  
Processing Division's Customer Correction Branch, Washington, DC  
20231 on January 16<sup>2002</sup>.  
Signed: Pat Tate  
Pat Tate

REQUEST FOR A CORRECTED FILING RECEIPT

RECEIVED

FEB 13 2002

Technology Center 2600

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Sir:

Enclosed is a copy of the Official Filing Receipt we received for the above-identified patent application. Please make the indicated corrections and reprint an updated Filing Receipt for the above-identified patent application and forward it to the undersigned at the address set out below.

Andrew L. Foss, San Jose, CA

If any additional fees are due in connection with this request, the Commissioner is hereby authorized to charge such fees to Deposit Account No. 50-0685 (Order No. CISCP041C1).

Respectfully submitted,  
VAN PEI & YI LLP

William J. James

William J. James  
Reg. No. 40,661

4906 El Camino Real  
Suite 205  
Los Altos, CA 94022  
(650) 903-3500

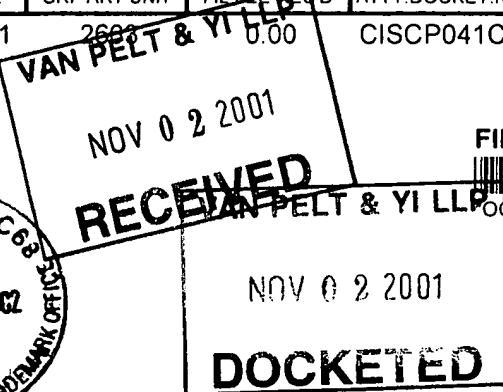
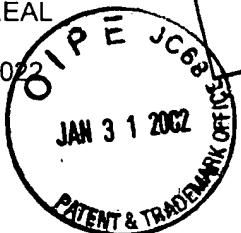


## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FILE FEE FWD | ATTY.DOCKET.NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|--------------|----------------|----------|------------|------------|
| 09/954,507         | 09/12/2001  | 2603         | 0.00         | CISCP041C1     | 11       | 20         | 3          |

21912  
 RITTER VAN PELET & YI, L.L.P.  
 4906 EL CAMINO REAL  
 SUITE 205  
 LOS ALTOS, CA 94022



CONFIRMATION NO. 9058

FILING RECEIPT



0000000006995097\*

Date Mailed: 10/30/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Richard A. Howes, Roswell, GA;  
 Edward C. Kersey, Athens, GA;  
 Bruce F. Wong, Athens, GA;  
 James A. Jordan, Lawrenceville, GA;  
 William M. Leblanc, Athens, GA;  
 Andrew L. Foss, San Jose, GA;

**RECEIVED**

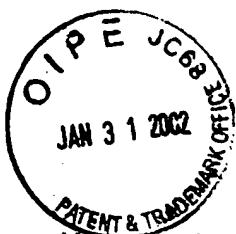
FEB 13 2002

Technology Center 2600

**Domestic Priority data as claimed by applicant**

THIS APPLICATION IS A CON OF 09/107,261 06/30/1998  
 WHICH IS A CIP OF 08/850,248 01/25/1999 PAT 6,317,775  
 AND A CIP OF 08/850,730 05/02/1997 PAT 6,061,349  
 AND A CIP OF 08/850,836 05/02/1997 PAT 6,104,717  
 AND A CIP OF 08/918,024 08/25/1997 PAT 6,108,300  
 AND A CIP OF 08/920,211 08/25/1997 PAT 5,989,060

**Foreign Applications****If Required, Foreign Filing License Granted 10/29/2001****Projected Publication Date: Request for Non-Publication Acknowledged****Non-Publication Request: Yes****Early Publication Request: No**

**Title**

Method and apparatus for maintaining connection state between a connection manager and a failover device

**Preliminary Class**

370

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**RECEIVED**

FEB 13 2002

Technology Center 2600

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).